

*Stevenson*  
*HD6*  
*8-6-01*

**PATENT APPLICATION**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of

Hikaru KOUTA, et al.

Appln. No. 09/788,621

Confirmation No.: 4578

Filed: February 21, 2001



Group Art Unit: 2874

Examiner: Unknown

For: METHOD FOR MODIFYING REFRACTIVE INDEX IN OPTICAL WAVE-GUIDE  
DEVICE

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.97 and 1.98**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached Form PTO-1449 and/or listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

1. Japanese Laid-Open Patent Application No. 10-268152, published October 9, 1998  
with English Abstract.
2. Japanese Laid-Open Patent Application No. 9-311237, published December 2, 1997  
with English Abstract.
3. Japanese Laid-Open Patent Application No. 2000-162453, published June 16, 2000  
with English Abstract.

One copy of each of the listed documents is submitted herewith.

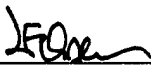
Hikaru KOUTA et al.  
09/788,621  
INFORMATION DISCLOSURE STATEMENT

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date for an application other than a continued prosecution application (CPA) under §1.53(d); (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after filing a request for continued examination (RCE) under §1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Respectfully submitted,

SUGHRUE, MION, ZINN,  
MACPEAK & SEAS, PLLC  
2100 Pennsylvania Avenue, N.W.  
Washington, D.C. 20037-3213  
Telephone: (202) 293-7060  
Facsimile: (202) 293-7860

  
\_\_\_\_\_  
J. Frank Osha  
Registration No. 24,625

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